

2008 Renewal Program Calendar

October 2007	
22	Firms may begin to submit post-dated Forms U5 and BR Closing/Withdraw via Web CRD®. All post-dated forms must be dated 12/31/07 .
November 2007	
1	Firms may begin to submit post-dated BDW and ADV-W via Web CRD and/or IARD SM . All post-dated forms must be dated 12/31/07 .
2	ALL Transition Filing functionality for investment advisers will shut down at 11:00 p.m., Eastern Time (ET) and will be unavailable until 01/02/08.
3	Extract for PRELIMINARY Renewal Statement generated from Web CRD/IARD database. Web CRD/IARD are unavailable.
5	PRELIMINARY Renewal Statements and Reports are available via Web CRD/IARD for viewing and printing.
December 2007	
10	DEADLINE for receipt of PRELIMINARY Renewal Statement Payments.
21	2:00 p.m., (E.T.), DEADLINE for submission of all EFT (electronic file transfer) filings. 6:00 p.m., (E.T.), DEADLINE for submission of all electronic form filings (including Forms U5, BDW, ADV-W, ADV Amendment and BR Closing/Withdraw) via Web CRD and/or IARD.
22-23	Extract for FINAL Renewal Statement generated from Web CRD/IARD database. Web CRD/IARD are unavailable .
24	Web CRD/IARD available for QUERY-only and the creation of "Pending" filings. Transition Filing functionality remains unavailable until 01/02/08.
25	Web CRD/IARD unavailable due to holiday schedule.
26-28	Web CRD/IARD available for QUERY-only and the creation of "Pending" filings. Transition Filing functionality remains unavailable until 01/02/08.
28	2008 Renewal Payments sent to all regulators participating in the 2008 (Web CRD/IARD) Renewal Program.
31	Web CRD/IARD available for QUERY-only and the creation of "Pending" filings. Transition Filing functionality remains unavailable until 01/02/08.

January 2008	
1	Web CRD/IARD unavailable due to holiday schedule.
2	<p>Web CRD/IARD systems' complete functionality available as of 7:00 a.m., E.T.</p> <ul style="list-style-type: none"> • All form filing functionality is available. • Broker-Dealers, Investment Adviser Firms, Registered Representatives and Advisers may be approved or terminated at this time. • All 2008 Renewal overpayments transferred to firms' Daily (Registration) Accounts. Refund requests will be made from this account. <p>FINAL Renewal Statements and Reports are available via Web CRD/IARD for viewing and printing.</p>
February 2008	
4	<p>DEADLINE for payment of FINAL Renewal Statements.</p> <p>Deadline for reporting Renewal discrepancies.</p>
5	PAST DUE Renewal Statements are available via Web CRD/IARD for viewing and printing.
March 2008	
3	DEADLINE for payment of PAST DUE Renewal Statements.